

Yuanta Financial Holding Company

Human Rights Policy

Approved by the Board of Directors on November 28, 2018 (34th meeting of the 7th board)

Approved by the Board of Directors on December 23, 2020 (23rd meeting of the 8th board)

Approved by the Board of Directors on April 28, 2021 (27th meeting of the 8th board)

Article 1 (Purpose)

In order to protect and maintain basic human rights, to affirm the Company and its subsidiaries' (hereafter: the Company) recognition and support for the Universal Declaration of Human Rights, the United Nations Global Compact, the International Labour Conventions, and other global agreements which protect basic human rights principles, to fulfill its responsibility to embody respect and to protect human rights, and to adhere to relevant labor laws in the countries where it operates, the Company sets this Policy.

Article 2 (Protection of Human Rights in the Workplace)

The Company prohibits all behaviors that violate human rights, including forced labor, human trafficking, child labor, and sexual harassment, and shall not engage in any form of differential treatment or discrimination on the basis of race, class, language, ideology, religion, political affiliations, ancestral origin, place of birth, gender, sexual orientation, age, marital status, appearance, features, disability, astrological sign, blood type, or membership in a labor union, so as to guarantee the workplace human rights of its employees, and to provide them with a respectful and equitable workplace environment.

Article 3 (Implementation of Equal Pay for Equal Work)

The Company does not discriminate in the payment of wages to employees on the basis of gender or sexual orientation. The same wage shall be paid to those whose work or value is the same. However, this does not apply to those who are justified on the basis of seniority, merit, performance or other reasons other than gender or sexual orientation.

Article 4 (Provision of a Healthy, Safe Workplace)

The Company shall adhere to all relevant workplace safety and sanitation laws, and shall provide a safe, healthy, and sanitary working environment through organizing safety and sanitation work, education and training, employee health examinations, or various health promotion activities to care for the physical and mental health of employees, improve and enhance the safety and sanitary conditions of the workplace, and reduce the risk of occupational hazards.

Article 5 (Freedom of Association)

The Company shall respect the right of the employees to organize and join various clubs and organizations, and provide proper diversified activities to enhance the work-life balance of the employees.

Article 6 (Promotion of Labor-Management Relations)

The Company shall show consideration for and manage issues related to employees' labor rights and interests, and may implement communication between employees and employers through collective bargaining, holding regular labor-management meetings, and providing channels for employees to voice their complaints or suggestions, in order to protect and enhance the rights and interests of employees.

Article 7 (Personal Data Protection)

The Company shall abide by the laws and regulations related to the protection of personal data, ensures that the collection, processing, and use of personal data comply with the laws and regulations, and protects and safeguards the rights and interests of personal data.

Article 8 (Propagation of the Human Rights Policy)

In addition to its support for and implementation of human rights protections, the Company has set "Human Rights and Environmental Sustainability Terms" to encourage suppliers and other partners to join the Company in a common focus on human rights issues and the management of related risks.

Article 9 (Implementation)

This Policy shall take effect, along with any subsequent amendments, upon receiving approval from the Company's board of directors.